DOCUMENT RESUME

ED 326 244 IR 053 349

TITLE Down the Road...Long Range Planning for Automation.
INSTITUTION Texas State Library, Austin. Dept. of Library Development.
PUB DATE 90
NOTE 40p.; Appended materials from the original workbook are not included in this document.
PUB TYPE Guides - Non-Classroom Use (055)

EDRS PRICE MF01/PC02 Plus Postage.
DESCRIPTORS Budgeting; *Evaluation Criteria; *Library Automation; Library Cooperation; Library Expenditures; Library Personnel; Library Services; Library Technical Processes; *Long Range Planning; Mission Statements; *Organizational Objectives; *Self Evaluation (Groups); *User Needs (Information); Workbooks

ABSTRACT

The materials in this manual/workbook were prepared to assist participants in a workshop on long-range planning for library automation. Chapters cover the following topics: (1) "What Is Long-Range Planning?" (2) "Why Plan?" (3) "Who Needs to Participate?" (4) "Planning to Plan"; (5) "Determining Needs"; (6) "Description and Introduction"; (7) "Mission Statement"; (8) "Goals and Objectives"; (9) "Budget and Financial Statement"; (10) "Timelines"; (11) "Evaluation Process"; and (12) "Important Subsidiary Data." (5 references) (SD)

****
* Reproductions supplied by EDRS are the best that can be made *
* from the original document. *
****

DOWN THE ROAD . . .

LONG RANGE PLANNING FOR AUTOMATION

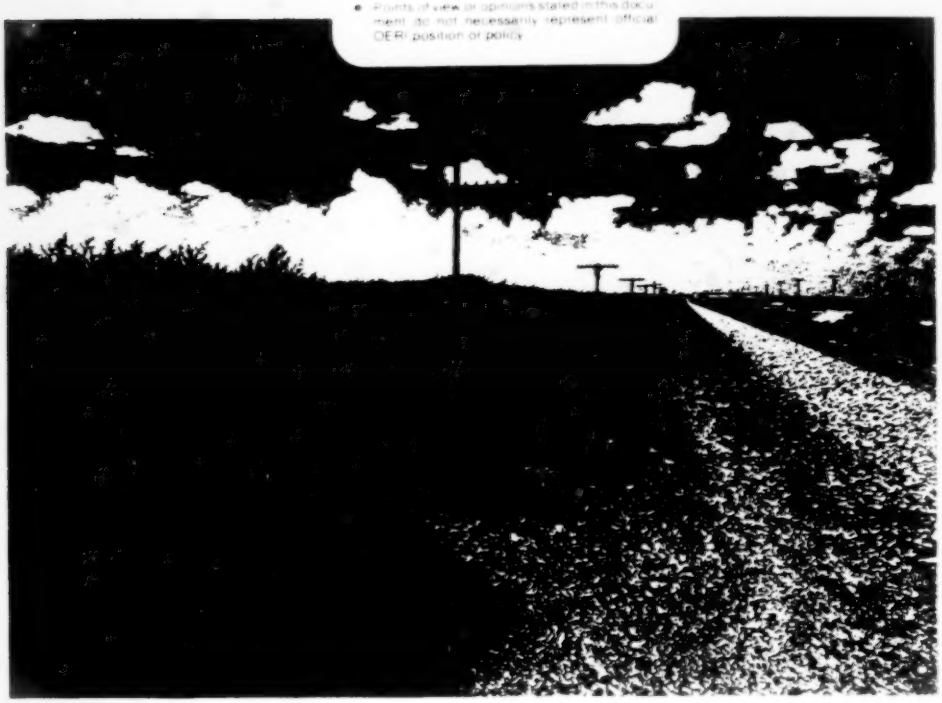
ED326244

U.S. DEPARTMENT OF EDUCATION
Office of Educational Research and Improvement
EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)

This document has been reproduced as received from the person or organization originating it.

Minor changes have been made to improve reproduction quality.

Points of view or opinions stated in this document do not necessarily represent official OERI position or policy.



Library Development Division

Texas State Library

1990

IR053349

PERMISSION TO REPRODUCE THIS MATERIAL HAS BEEN GRANTED BY

Anne Ramos

TO THE EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)

TABLE OF CONTENTS

LONG RANGE PLANNING FOR AUTOMATION WORKBOOK

Chapter Number	Title	Page
	Introduction	ii
Chapter One	What is a Long Range Plan?	1
Chapter Two	Why Plan?	4
Chapter Three	Who Needs to Participate?	10
Chapter Four	Planning to Plan	13
Chapter Five	Determining Needs	15
Chapter Six	Description and Introduction	19
Chapter Seven	Mission Statement	21
Chapter Eight	Goals and Objectives	23
Chapter Nine	Budget/Financial Statement	25
Chapter Ten	Timelines	27
Chapter Eleven	Evaluation Process	30
Chapter Twelve	Important Subsidiary Data	32
	Appendices	35

INTRODUCTION

The materials in this manual have been prepared to assist workshop participants and others interested in long range planning for library automation. We suggest that you write in this book, filling in the worksheets, brainstorming on the blank pages, and doodling in the margins. This workbook will then be an important learning tool during the training process, a means for review afterwards, and the groundwork for the actual long range automation plan for your library.

If you want a clean copy also, contact Holly Gordon at 512-463-5464 or Carlyle Edwards at 512-463-6627. We always make extra copies of our workbooks and will send a copy to you free of charge.

The pages of this workbook are three hole punched in a looseleaf format so participants can add lists, meeting notes, library and vendor data and other materials useful to their unique planning process. Participants are encouraged to use this manual in any way they find helpful. Participants may reproduce pages as needed to further their own planning efforts.

The activity which is the subject of this report was supported in whole or in part by the U.S. Department of Education and The State of Texas. However, the opinions expressed herein do not necessarily reflect the position of policy of the U.S. Department of Education or the Texas State Library, and no official endorsement should be inferred.

CHAPTER ONE

WHAT IS A LONG RANGE PLAN?

Take a moment now to write your first responses to the following questions:

1. What do you think effective action is, and how do you recognize it?

2. What kind of results do you expect from the monetary and time investment you, your staff, and your community will be putting into implementing an automated system?

3. What is a long range plan?

4. Why is it important to have a long range automation plan?

What is planning? It is the process of getting an organization from where it is to where it wants to be in a given period of time by setting it on a predetermined course of action.

Before you spend time and money on automating your library, you need to answer the question "Why automate?" In other words, "What results, what benefits do we expect to gain, for ourselves and the people we serve, by automating?"

Most libraries use public resources, such as money, volunteer time and facilities. We have to be particularly accountable for how we spend these resources. In order to be accountable, we must know what we hope to gain by spending these resources in a certain way.

Look at the responses you made on the previous page to the question "What is long range planning?" Below are some of the answers we found to that question. Compare these to yours:

1. A systematic approach to understanding an organization's role, evaluating its abilities and needs.

2. An instrument to be used for setting measurable goals over a specified period of time and for re-evaluating those goals.

3. An instrument to be used to prepare for change.

4. An opportunity to bring together the skills and experiences of library board, administration, staff and community members into the planning process and into a consensus on the goals and objectives of the library, specifically automation and technology goals and objectives in the library.

5. To provide a direction and framework for the automation project that will guide decision making and problem solving.

The reason we have chosen to concentrate this workshop on long range automation planning is that it is an expensive, time consuming, and often frightening undertaking to automate a library. Planning well for automation can prevent expensive mistakes, save time, and goes a long way to calm fears!

Bibliography and References

These are books and articles we would recommend for a general overview of planning (in no particular order):

Hennepin County Library Automation Project: a plan for the next steps in the automation of the public catalog, cataloging, circulation control and acquisitions, December 1987-June 1989, Final Report. (Texas State Library, LSC, Vertical file–Automation)

Small Public Libraries and the Planning Process. Proceedings of the Public Library Association, Small and Medium Sized Libraries Section, American Library Association Annual Conference, San Francisco, 1981. (Texas State Library, LSC, PL 025.1974 Sm18)

Output Measures for Public Libraries, 2nd edition. Chicago: American Library Association, 1987.

Planning and Role Setting for Public Libraries: A Manual of Options and Procedures. Chicago: American Library Association, 1987.

O'Donnell, Peggy. *Public Library Development Program: Manual for Trainers*. Chicago: American Library Association, 1988.

Copies of these items are available from the Texas State Library's Library Science Collection. For information call 1-800-252-9386.

CHAPTER TWO

WHY PLAN?

Ok, you were hoping we wouldn't ask this question. We'll compromise; we are going to ask the question, but you won't have to tell us your answer.

Why did you come to this workshop? List your reasons below:

In the previous chapter you wrote down why you thought it is important to have a long range plan for automation. That was really a trick question – you may not actually think it is important to plan for automation, but we want you to think it is, so we set you up to answer the question the way we wanted you to. Now go back and review your response to that question.

The following are some answers to "why plan?" Compare these to yours:

1. To give shape and prioritization to an organization's budgeting, automation & technological advances and related decisions.

2. To help the board, administration and staff to say no to unnecessary diversions. (You don't drive straight from Dallas to Houston by way of Texarkana; Shreveport, LA; Waco; and Austin.)

3. To allow the library to become active, rather than re-active.

4. To provide excellent PR by showing the organization as positive, forward thinking and considerate of how and why money is spent.

5. To enable a boost in the confidence level of those involved.

6. To make sure the library staff, board and funding sources understand the reason for the automation project, the responsibilities, and what the desired results will be.

7. To assure that everyone is heading in the same direction.

Now that we have hopefully convinced you that long range automation planning is important, let's do a self-test to measure your resistance to planning in general.

Where Do I Stand Personally With Planning?

"Quick and Easy Self-Test"

Choose one answer for each question. If you don't like the results, feel free to re-take the test or "round-file" the results. The results are no more binding than the average quiz in "Cosmopolitan."

_____1. The way I feel about the planning process is:
   a. it's a pain in the neck.
   b. it's almost as much fun as my favorite sport, video game, or board game.
   c. it takes time and energy that I could use better for other pursuits.
   d. it's a required bureaucratic activity, like doing timesheets and monthly reports.

_____2. What I dislike most about planning is:
   a. involving people who don't know much about libraries.
   b. writing the whole thing down.
   c. taking time for meetings, surveys, interviews and all that stuff.
   d. the results are boring and predictable

_____3. If I don't initiate a planning process this year,
   a. I'll be a happier person.
   b. I'll miss an opportunity to get other people excited about the library.
   c. I'll be able to do something more important to me.
   d. someone "upstairs" will notice.

_____4. If I disappear during the 1989 Attack of the Killer Tomatoes and no plan has been done,
   a. the next librarian will probably do one.
   b. some great ideas will be lost forever.
   c. my compatriots will get the work done well enough.
   d. we might lose some possible funding opportunities.

_____5. If we do a plan in 1989,
   a. I won't necessarily feel obligated to follow it in 1990.
   b. I'll have a lot of fun with it and so will other people
   c. I might get a raise, better staff support, or a bigger book budget in the next few years.
   d. it will look good on my resume.

_____Total

To score:

Give yourself 1 point for each "a" answer, 4 points for each "b" answer, 3 points for each "c" answer, and 2 points for each "d" answer. Add the results for your total score.

Total score interpretation:

5-8 points: Your internal motivation is low and your resistance to external motivation is high. Watch your step. Even if you do a plan, you may sabotage it.

9-15 points: Like most of us, you have mixed feelings about undertaking a planning project. However, you can clearly see at least one compelling internal or external motivator. Planning will be a good learning experience for you.

16 + points: Your internal and/or external motivation is high – the time is right and you're ready to plan. See how much fun you can have with it!

Internal Motivation

You've got internal motivation if:

– you can see *any kind* of personal payoff from participating in a planning process.

You may not see any personal benefit in planning.

Look again. In fact, you may wish to observe the planning process in action for a few weeks before you re-assess the kind of personal benefit that may be involved for you. Still no visible personal benefits? It's okay, there are plenty of external motivators to keep you going.

You may be personally demotivated to plan. For example, you may be demotivated if:

– you truly see planning activities as interfering with activities of greater importance to you;

– you mistrust the process involved or the use of the results to justify action.

Demotivated people make poor planners. External motivators sometimes create tremendous pressures for demotivated people to take leadership roles in planning. The most likely result - a plan that will never be implemented.

What about you? What kind of personal payoff, if any, do you see in the planning process?

External Motivation

You've got external motivation if:

- anybody on your board, city/county council or commission, state library, etc., has "bees in their bonnets" about planning;
- any external sources of funds for you require plans as part of submitted funding proposals;
- any evaluation system you're using or contemplating using (such as merit pay) demands planning;
- you're trying to coordinate your library's roles and activities with the roles and activities of any other institution, agency, or organization;
- people ask why you allocate you limited resources in the ways you do.

The list can go on and on. What about you? What are some of the external motivators in your situation?

Please note that we have included at the end of this workbook copies of the following state documents. They can be useful in planning an automation project. They are current as of June 1990. Please contact Library Development (512-463-5465) for the most recent versions of these items.

–Project Leadership, and documents accompanying it.

–LSCA Title II and III grant guidelines.

CHAPTER THREE

WHO NEEDS TO PARTICIPATE?

You will not be planning alone. The following two lists are samples of who should participate or be utilized as a resource:

1. The following groups should be represented and participate:
    a. Library board/city management
    b. Library administration
    c. All library departments
    d. Community at large
    e. Friends of the Library organization
    f. Others

2. The following can be enlisted for support and as resources:
    a. Library board
    b. City/county government
    c. Library administration and staff
    d. Local educational institutions/staff
    e. Area personnel working with non-library computer applications
    f. Personnel involved with local/regional planning offices
    g. Library systems
    h. State library personnel
    i. Business and other community leaders
    k. Other libraries who are already automated

List below the people who need to be part of your planning process. Do you think they will help? How can you get them interested in planning?

Representatives:

Who	where are they	what can they do	will they resist	how to overcome resistance

Also make a list of the people you will use as Resources, who can give you advice and information:

Who	where are they	what can they do	will they resist	how to overcome resistance

CHAPTER FOUR

PLANNING TO PLAN

Long range automation planning is really a subset of full long range planning. In fact, ideally you have a full long range plan, a part of which is devoted to automation plans. Automation plans should be an outgrowth of a library's overall goals and objectives.

Long range automation plans are written in much the same way as full long range plans, and they have the same parts and elements. Full long range planning just takes more time and involves more people.

If you don't already have a full long range plan, then after you have completed your long range automation plan, you can use the same methods to put together a full long range plan.

In Appendix D of this workbook you will find the long range automation plan for Bridge Memorial Library. This is a long range plan we wrote for a library that doesn't exist. We used the guidelines given in Project Leadership, making sure that all the required elements were there. Basically, this is what government, public and private foundation and grant agencies are looking for in a long range automation plan.

For most of the remainder of this workbook we will be looking at this plan, discussing each part, then doing exercises that will help you to write each part of a long range automation plan for your library. One of the first questions everyone asks when we talk about long range automation planning is "How long will it take?" The following are rough estimates--

Type	Size	Estimated Time
Public	Small	< 1 month
Medium		1-2 months
Large		3+ months
School	Small district	1-2 months
	Large district	3+ months
Community College		1-3 months
Small Academic		3+ months
Large Academic		3+ months
Special/governmental		< 1 month

Bear in mind that many factors affect the length of time it takes to plan, such as the complexity of the project, the severity of the problems the library is facing, the number of sites, size of staff, needs, and other variables.

Also consider that you will need time to revise the long range automation plan on a regular basis. There will be more on revising plans in Chapter Eleven.

So now that you know how long it might take you and your staff to do a long range automation plan, you are ready to "plan to plan." The following are the steps involved:

1. Clarify your expectations and the expectations of other key people. This will probably be ironed out in staff meetings, board meetings, and informal brainstorming sessions. However, it is important that you write down these expectations and get the people involved in planning to agree to them.

2. Identify the work that will have to be done to meet these expectations. Again, this will take some brainstorming to complete, and will need to be agreed upon.

3. Look at the human and material resources available to you to determine if you have the resources to do the work you've outlined in step #2. Particularly consider how much time it will take you and your staff.

4. Assign responsibilities and allocate resources. You can't do it all, so you will need to clearly define tasks and delegate responsibilities.

5. Establish a planning schedule. This can be a timeline, much like the one you will design in your long range automation plan. Use Chapter Ten to help you write both schedules (or timelines).

Suggested reading for this topic: "Planning to Plan" from *Planning and Role Setting for Public Libraries* (ALA, 1987).

CHAPTER FIVE

DETERMINING NEEDS

Needs are determined by getting a picture of your environment. You will want to determine:

Who are your patrons and what are their needs?

Who are you not serving well?

Who is your staff, and what are their strengths?

How can automation improve the service your staff is giving patrons?

To determine these you will need to use various tools for data collection, for instance:

Patron Surveys

Public Hearings

Telephone Polls

Census Information

Staff Surveys

Staff Meetings

Staff Brainstorming

Staff "Gripe-Sessions"

This process of data collection will also give you the opportunity to begin making your staff and patrons feel more comfortable with the prospect of automating. They will understand that they have a voice in the process, and you will have a chance to address their concerns ahead of time. It will also give you a chance to correct unrealistic expectations.

Write down some of the survey questions you think would help you understand the needs of your patrons and staff. Try to make these questions as open-ended as possible, that is, not just yes/no questions, but those that ask for opinions, thoughts and suggestions. We've included examples to get you warmed up:

Patrons:

"Did you find what you needed in the card catalog"?

"How long did it take you?"

"How easy was it to use?"

"What do you think would improve our library?"

"What is the biggest problem you have with circulation?"

Staff:

"How do you think we could improve service to our patrons?"

"What is the most time-consuming activity of your day?"

"Why do you think automation would help the library?"

After data has been collected, you will need to interpret this information in order to determine needs. In reviewing this data, you should find problems that are mentioned repeatedly, and these are probably problems about which you were already aware.

State these problems in the form of needs; problems for which you are seeking solutions. These will be the basis for the entire long range automation plan. The following is an example of the statement of needs from the Bridge Memorial Long Range Automation Plan --

Needs:

1. We have a three month backlog in filing catalog cards, and a four month backlog in processing the materials. We need to eliminate this backlog.

2. Up until this year we have had no authority files, and were not cataloging according to AACR2 (let alone the AACR2 1988 revision). This cataloging needs to be cleaned up.

3. Our circulation has been increasing 30% every year, and is now 100,000. Our manual system can not handle this transaction load. We are two months behind on sending out lost book notices. We no longer are able to send out overdue notices.

4. Our present system does not allow us to produce management reports to show usage, demographics, and patron information. In fact, with the manual system we can not even tell a patron if they have an overdue book without extensive searching by due date.

5. Because of the backlog in filing and producing catalog cards and the lack of authority control, our librarians and patrons do not have adequate access to our collection, and only come across the newer books by hit or miss when browsing.

6. There are two high school libraries, a community college library, a university library and four public libraries in this county. We presently have informal reciprocal borrowing agreements with these libraries and have found this to be a popular service for the residents of this county. However, it is presently difficult and time consuming to search each paper file to determine if an item is in a collection, and then search the shelf to see if it is available.

7. Our manual ordering system is slow and very disorganized. It is difficult to determine what has been ordered, and frequently we order items more than once. We need to streamline this process so that books are ordered and received in a timely manner (while the book is still on the bestseller list), and so that librarians and patrons can see whether an item is on order and when it can be expected.

Now, ask yourself some of the questions you wrote in the survey above. Think about what you perceive to be the needs of your library that could be satisfied by automation. List these needs below. After you go back to your library and do data collection, you will be adding to this list, but this will give you some examples to use for the remainder of this workshop, plus some actual needs that you will be including in your actual long range automation plan.

CHAPTER SIX

DESCRIPTION AND INTRODUCTION

At this point you are ready to start putting your document together. First of all, you will need an introduction, which will include a brief description of your library. You probably already have something like this in your files or in a library publication. Here is an example from the Long Range Automation Plan for Bridge Memorial Library:

> The Bridge Memorial Library is a single branch library located in Anytown, Texas, and serves the residents of Anycounty. Anycounty has a population of 100,000, with nearly 47,000 patrons registered for service. More than 500 people a day use the library. The Library has a collection of 150,000 volumes (100,000 titles). In addition, the Library holds more than 1000 audiovisual titles and subscribes to more than 150 periodicals.
>
> The Library is located in a county in which the population is very spread out. There are, however, libraries throughout the county, including two high school libraries, a community college library, a university library and four other public libraries. Reciprocal borrowing agreements exist with all of these libraries.
>
> etc....

Notice that this example includes:

--a general description of library

--the organizational and community factors that influence the project

This section of the long range automation plan describes the environment in which planning was done, and in which the projects described will take place.

On the following page, jot down a quick outline of the information you would include in an introduction to your library and its automation project. Include a list of the primary organization and community factors that will influence your project. If there are negative factors, suggest some remedies. Also include references to descriptions you can copy from elsewhere.

Outline for the Introduction to the _____ Library
Long Range Automation Plan.

CHAPTER SEVEN

MISSION STATEMENT

Go back and review the list of needs you wrote in Chapter Five. When you do your actual long range automation plan, you will discover more needs than these, but we will use these as "training examples."

Your mission statement should come from these needs. It is a summary, an "umbrella" statement of these needs. It will be, above all, an answer to the question:

WHY AUTOMATE?

This is a very important question, and you will be asked this question many times in the process of automating, and even after you feel your project is completed, and successful. So answer the question now, why automate?

_____

_____

_____

_____

_____

Now, let's make this into a mission statement. Look over your needs again. Does the answer to the question "why automate" answer those needs? Can adjustments be made so that it does? If necessary, make adjustments in this statement.

Here is a list of the other elements of a mission statement:

Should be positive and upbeat

Should be concise

Should give a basis for the goals of the project

Should be clearly defined

Should provide a focus for the overall project

Check over your statement again, and do some fine tuning. Of course, this will not necessarily be the "battle cry" of your actual automation project; this is just to give you some practice.

Below is an example of the mission statement from the LRAP for Bridge Memorial Library:

"The primary purpose of automating the Bridge Memorial Library is to make more of our resources available to more of our users more of the time."

CHAPTER EIGHT

GOALS AND OBJECTIVES

Now we come to the actual meat of the long range plan, the goals and objectives.

Once again, review the needs and your mission statement. Your goals come from these. How are you going to meet your needs? How will you support your mission statement?

Writing these goals and objectives will be the result of research and brainstorming. Look back over your list of people who will help with planning and be resources. Will they be able to help you come up with goals and objectives?

Keep in mind that goals are general, flexible and non-operational. Objectives quantify the goal statements into a measurable result.

The following are examples of goals taken from the Bridge Memorial Library LRAP. Note that these answer particular needs. Using these goals, we will write objectives and tasks. Then you will write some goals, objectives and tasks for some of your needs.

Goal 1: Improve access to entire collection for more effective use of library's collection.

Objectives:

1. Convert entire collection to MARC format.
2. Complete authority control on database including well-constructed "see" and "see also" references.
3. Make sure searching capabilities are not restricted to just full author, title, subject headings.

Activities:

Goal 2: Procure a system that integrates circulation, cataloging and the online public access catalog.

Objectives:

Activities:

Goal 3: Establish a shared multitype bibliographic database and union catalog with area libraries.

Objectives:

Activities:

Goal 4: Investigate and evaluate the benefits of an acquisitions control system.

Objectives:

Activities:

CHAPTER NINE

BUDGET AND FINANCIAL STATEMENT

Make a rough list of your current assets (available, unencumbered $):

Let's do a brainstorming session--Where could you get more money? Discuss this with people at your table, then jot down your ideas.

Now, how do you determine costs of automation? Well, you talk to vendors, you send out an RFI, an RFQ or request for a price proposal. You talk to consultants and other librarians in your area who have automated. Included with this workbook is a list of vendors as well as a sample RFI. This will give you an idea of what you need to ask vendors, and how to estimate costs.

Listed below are things to plan for when budgeting. Answer these questions for your library:

How are you going to maintain that system and current levels of service if you experience a 30% decrease in budget over the next 3 years?

How are you going to handle an uninsured accident such as a flood or a lightning strike?

How are you going to handle potentially needed hardware upgrades?

The next step is to prepare a Budget/Financial Statement for the project. The Budget for the project should be divided into three basic segments.

First Segment: Pre-contract costs

-advertising for, interviewing and selecting an automation project manager or consultant

-development of the Data-Conversion RFP and the System RFP

-travel expenses to other libraries to survey systems in operation, research how they did things, etc.

-automation supplies such as bar-codes

-general supplies, binders for RFP's, duplication costs,etc.

-legal fees for contract negotiations, etc.

-temporary employees hired for shelflist clean-up/bar-coding and miscellaneous other work

Second Segment: Up-Front, Installation costs

-Hardware costs

-Software costs

-Site Preparation costs such as computer room, cabling, etc.

-Data Conversion costs such as retro-con, authority control, etc.

-Staff Training costs

-Equipment costs such as peripherals, UPS, communications equipment

-Start-up supplies costs

-Miscellaneous costs

Third Segment: Operational costs/On-going

-Salaries/wages/benefits for system management/operations staff

-Supplies such as printer paper, bar-codes, magnetic tapes

-Communications costs

-Hardware maintenance

-Software maintenance

-Bibliographic/Database maintenance

-Contingency funds

-Miscellaneous

CHAPTER TEN

TIMELINES

A timeline or schedule for completion of the events for a project should be prepared and included in the Long Range Plan for Automation. This timeline, just like the overall Long Range Plan for Automation, is to assist you in staying on course towards the completion of the project. In addition, like the LRAP, the timeline will need to be evaluated from time to time and modified depending on the project and how the various goals and objectives are being accomplished.

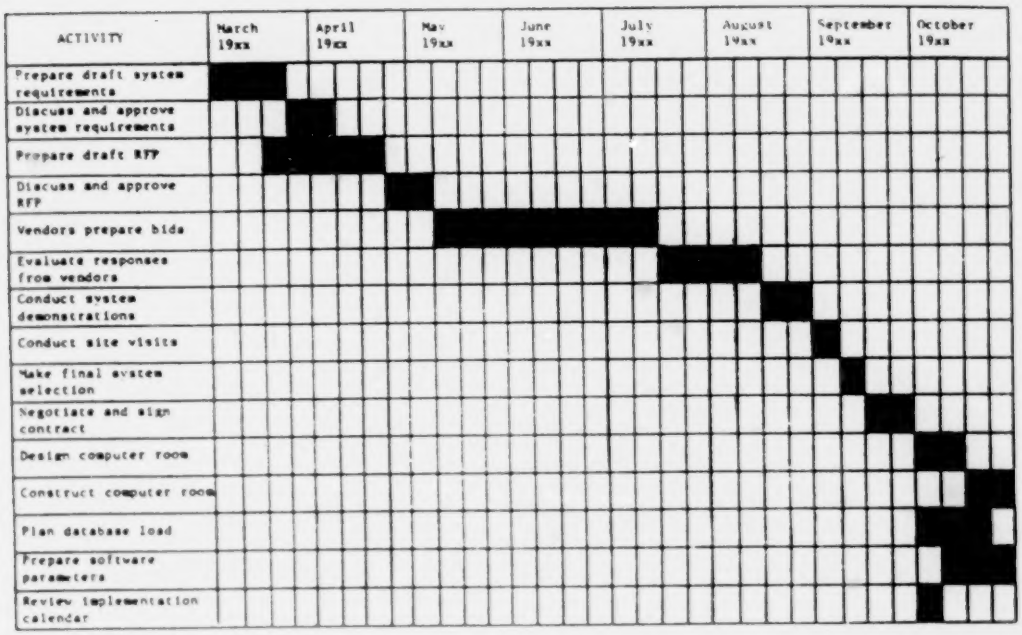
The three types of charts that can be used for a timeline are as follows:

1. The Calendar of Events is one of the simplest scheduling tools for a project. The activities to be completed are merely listed, with completion dates beside each event. The calendar can be highly detailed or can include only major events. It is easily prepared, easily revised and universally understood.

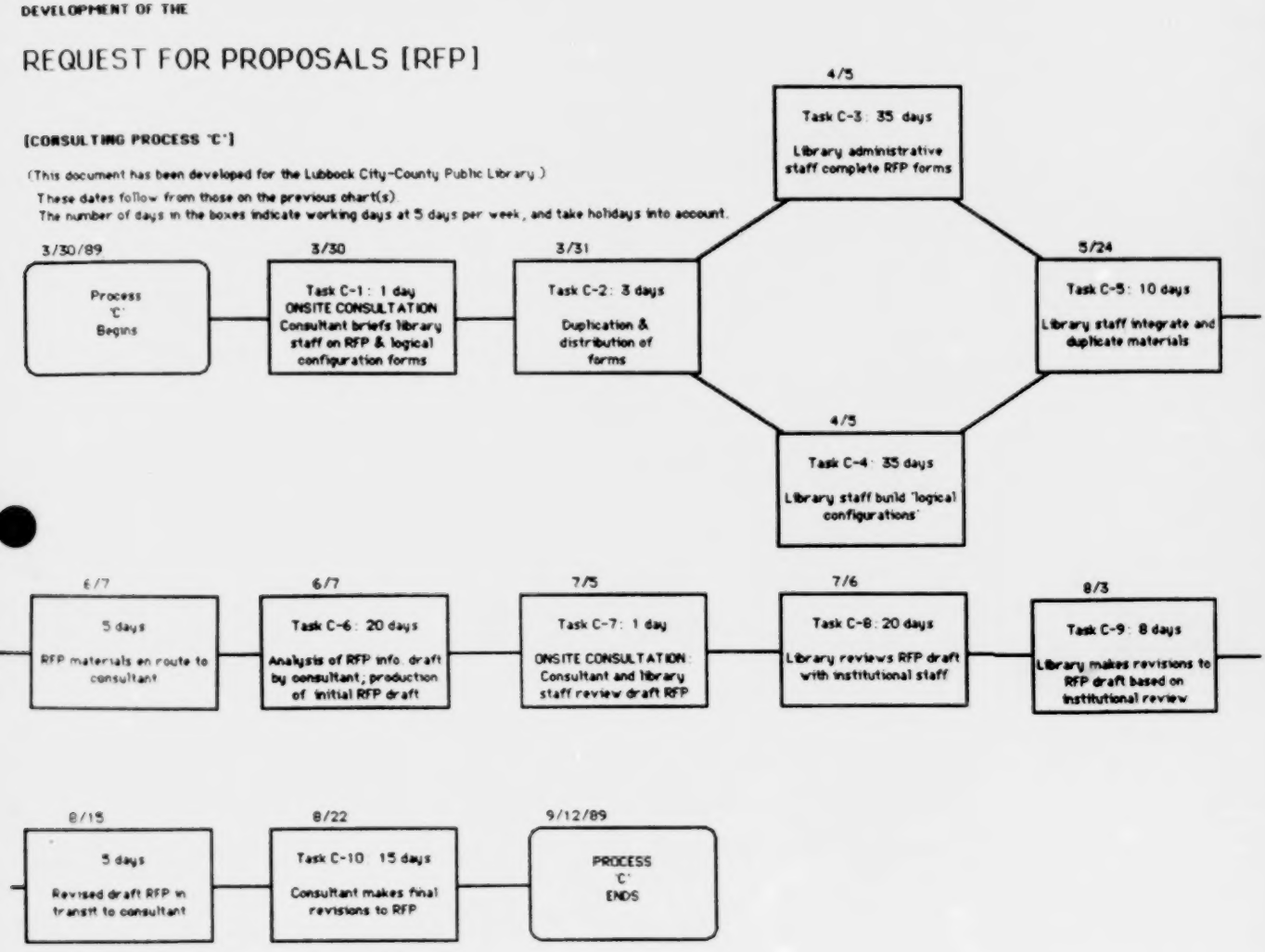
Example:

Sept.	1990	Final Draft of LRAP completed.
Oct.	1990	RFP for Retrospective Conversion completed and sent to vendors.
Nov.	1990	Retrospective Conversion bid responses due.
Dec.	1990	Retrospective Conversion bid responses reviewed and contract signed with winner.
Jan.	1991	Retrospective Conversion project begins, RFP developed for automated system.
Feb.	1991	RFP for automated system finalized and sent to vendors. Retro-Con project continues.
March	1991	Retrospective Conversion project continues.
April	1991	Automation system bids due & opened. Retrospective Conversion project continues.
May/June	1991	System bids evaluated, vendor demonstrations. Retrospective Conversion project continues.
July	1991	System contract negotiations and signing. Retro-Con project continues.
etc.		

2. The Gantt Chart is another simple, effective scheduling tool that makes the timeline a little more "visual".



3. The Network Chart is the most difficult scheduling tool to prepare, but it does fairly graphically illustrate the interrelationships of events that are required to complete the work to be performed in a project. This same graphic interrelationship can be developed within the Gantt Chart but with a little more difficulty.


DEVELOPMENT OF THE
REQUEST FOR PROPOSALS [RFP]
[CONSULTING PROCESS 'C']
(This document has been developed for the Lubbock City-County Public Library.)
These dates follow from those on the previous chart(s).
The number of days in the boxes indicate working days at 5 days per week, and take holidays into account.
3/30/89
Process 'C' Begins
3/30
Task C-1: 1 day
ONSITE CONSULTATION
Consultant briefs library staff on RFP & logical configuration forms
3/31
Task C-2: 3 days
Duplication & distribution of forms
4/3
Task C-3: 35 days
Library administrative staff complete RFP forms
4/3
Task C-4: 35 days
Library staff build 'logical configurations'
5/24
Task C-5: 10 days
Library staff integrate and duplicate materials
6/7
5 days
RFP materials en route to consultant
6/7
Task C-6: 20 days
Analysis of RFP info. draft by consultant; production of initial RFP draft
7/5
Task C-7: 1 day
ONSITE CONSULTATION:
Consultant and library staff review draft RFP
7/6
Task C-8: 20 days
Library reviews RFP draft with institutional staff
8/3
Task C-9: 8 days
Library makes revisions to RFP draft based on institutional review
8/15
5 days
Revised draft RFP in transit to consultant
8/22
Task C-10: 15 days
Consultant makes final revisions to RFP
9/12/89
PROCESS 'C' ENDS

CHAPTER ELEVEN

EVALUATION PROCESS

Implementing the project activities is not enough to ensure the success of the Long Range Automation Plan. It is important to keep in mind that the achievement of the goals and objectives is the purpose of the various activities and that, as a result, activities may need to be adjusted to ensure goal achievement. At times, even the goals and objectives may need to be modified, realigned or completely changed. A formal evaluation procedure should be established for the activities, the goals and objectives, and for the entire Long Range Automation Plan.

The three standard criteria by which to evaluate are, **Effectiveness**, **Efficiency**, and **Extensiveness**.

1. The **Effectiveness** criteria. How well has the activity been performed?

2. The **Efficiency** criteria. How productively an activity is accomplished?

3. The **Extensiveness** criteria. How much of the activity has been accomplished?

A. Evaluation needs to be done periodically for the various activities, objectives, and goals. During this evaluation process the following types of questions need to be raised:

   --What contributed to the success or failure of this activity/objective?

   --Was anything overlooked in planning the steps to conduct this activity?

   --Were there any unanticipated results?

   --What could have been done differently?

   --Based on the above answers, does this activity/objective need to be changed or modified?

In addition to the above questions, other items that can be part of this periodical evaluation include:

--Keep a record of planned and actual starting and completion dates of each activity and objective.

--Implementor/activity coordinator keep a written "diary" of project implementation, including observations, impressions, etc.

--Participants/management also keep a written record of observations, etc.

B. Periodically, generally semi-annually or at the least, annually, the planning committee needs to evaluate the entire Long Range Automation Plan.

Questions that need to be asked as part of this process include:

--Has the plan's success or failure demonstrated that the library may have had unrealistic goals and objectives? Are the goals and objectives appropriate?

--Has the library performance and project performance become more extensive, more efficient, or more effective?

(Calculate performance indicators and compare them with original data. The library's expertise in planning should be developed by this time and new surveys may be needed, especially those related to areas of possible need which have not yet been addressed by the long-range plan.)

--Have changes occurred in the library? Have they been positive or negative?

(Investigate new data, re-administer internal surveys, get feedback from all library staff, brainstorming, etc.)

--Have any unforeseen opportunities or problems arisen?

(Re-ranking or the creation of new goals and objectives may be necessary to take advantage of opportunities that have arisen or to lessen the impact of unfavorable circumstances.)

When the over-all evaluation procedure is finished, it is valuable to chart the actual accomplishments against the specified level of accomplishment in the objectives and overall Long Range Automation Plan. Use the chart to inform the staff, board, other interested parties on the overall progress of the project and use it as a milestone marker.

Measuring the level of progress and modifying future action to ensure continued advancement is the essence of evaluation.

CHAPTER TWELVE

IMPORTANT SUBSIDIARY DATA

Sometimes when completing Long Range Plans, companies, government agencies, various institutions and libraries typically forget to include a lot of information that is secondary in nature to the main thread of the plan; yet is as vital to the plan as are the goals and measurement tools.

Below are some examples, not nesessarily in order of importance.

1. **Organizational Structure**.

Change definitely impacts the organizational structure in many ways, from the overall flow chart to job descriptions, from the overall layout of the library to the layout of particular departments--specifically Technical Services and Circulation departments.

Questions that need to be asked and answered are:

A. How is the staff currently organized in the flowchart? In their job descriptions?

B. What temporary changes may need to be made to implement the project?

C. What changes may need to be made permanently?

D. What is the layout of the library as a whole? By department?

E. What changes will need to be made in layout?

2. **Service to User's match**.

Libraries are one of the oldest of the service institutes. Our primary function is to provide various services including information, education and entertainment to the general public. How is the project going to affect the provision of those services? Will the project meet the frequent user's needs, the infrequent user's needs, the needs of your adult patronage, your student patronage?

Keep in mind the fact that a key portion of the users are the staff of the library! Is the project going to meet their needs and if so, how effectively? The needs of technical services staff, the circulation staff, the public service staff, and others?

3. **Financial Statement**.

Any project involving any use of technology involves money, up front and continuing costs.

a. How is your current budget set up? What are your current allocations?

b. What changes may need to be made in your budget, now? Next year? And so on.

c. Are you going to need additional funding? If so, where to look and in what priority?

--Levies or bond issues?

--Corporate/Individual foundation grants?

--LSCA Title _____ grant?

--Various fund-raising events?

--Corporate/Individual donation of peripherals, labor, etc.

--Miscellaneous

4. **Strategic Issues.**

Strong impacts on projects can be made by local, state or national laws, telecommunications policies and rules, advances in technology, the cost of technology and on-going maintenance for that technology. What limitations or inadvertent snags has the FCC or the state PUC or other entity placed on your project before it becomes a project?

5. **Contingency Planning.**

This is the one area that primarily governmental entities neglect to think through. The success and/or failure of projects, companies, agencies have been proven over this point. Contingency planning is essentially taking the time to plan for the unforeseen, the worse case scenario, the problems.

Problems hit harder when a plan has not been developed on how to effectively deal with the problem. Don't attempt to plan for every eventuality. This is impossible to do; however, plan for the key ones that could sink a project.

--The equipment is bought and in the process of being installed. You just found out that your budget for next year will be cut by over 30%. How do you deal with this, especially in relation to the on-going costs involved?

--An unrestricted bequest of a fair sum of money lands in your lap and it has been designated by the giver to be used for the automation project, what do you do with it?

--You just had some uninsured damage to your equipment? How do you handle this?

--An "act of God" just occurred and "acts of God" are not covered under your maintenance contract, what do you do?

--One that can definitely be planned for is hardware upgrades, processing power, additional disk drives for mass storage, increase in number of ports and terminals, a complete swap-out of the hardware platform about 3-5 years into the project and other related unforeseen expenses. How do you deal with these?

6. **Library Statistics.**

What is your projected collection growth year 1 through at least year 5?

What is your projected service area growth through year 5?

What is your projected number of patrons going to be year 1 -- year 5?

Total number of titles in machine readable record format year 1 -- year 5?

Miscellaneous

7. **Products and Miscellaneous Information.**

What kind of hardware do you currently have? Expect to get? Expect to need?

What kind of software do you expect to want/need? Already have?

What type of hardware and software support/maintenance do you have? Will you want?

What type of training support do you want?

Retrospective Conversion? Basic requirements. Authority Control? etc.

Project administration and staffing? What qualifications? How many? etc.

Telecommunications? Dedicated lines? WAN? LAN? etc.

Site preparation. For terminals? For Central Site Equipment? A/C? UPS? Power conditioning? etc.

Implementation, training? Patron and item conversion/labeling? Miscellaneous.

8. **Consortium** (More than one library involved with automation plans.)

Plans for the project as a whole and for each participating library.
Project needs an overall Long Range Plan for Automation.
Each library needs individual Long Range Plan for Automation.

Evaluation of collection sizes, strengths, weaknesses, and overlaps.

Cost allocation formulas/methods. Who pays how much and why?

Governance structure. (This is *IMPORTANT!!!!!*)
Governance structure in most cases, makes or breaks a joint project!

APPENDICES

Contents:

A. Section for Questions
B. Project Leadership
C. LSCA II & III
D. Sample LRAP
E. Sample RFI
F. Vendor Lists

A. Section for Questions

There will be question and answer periods during the day. You might want to write your questions, and the answers we give, here. Also, you can call us about these questions (Holly Gordon 512-463-5464 or Carlyle Edwards 512-463-6627) if you don't have a chance to ask us at this workshop.

END

U.S. Dept. of Education

Office of Education
Research and
Improvement (OERI)

ERIC

Date Filmed

March 29, 1991